

**CHECKLIST FOR APPLICATION FOR PRENEED CERTIFICATE OF  
AUTHORITY**  
FORM CKAPCOA (12/2004)

The following is a checklist of the items required to be furnished in order for the Alabama Department of Insurance to review your application for your preneed certificate of authority. When you return the application, please attach a copy of the checklist (with the boxes checked as appropriate) so that we can expedite the review.

- ☐ Check for application fee (for both certificate holder and any branches, as appropriate) and preneed sales agent registration fees
- ☐ Application for Preneed Certificate of Authority (signed and dated, with all appropriate information provided, including biographical and ownership information). Please indicate what method you will use to fund the preneed sales (life insurance, trust, letter of credit, surety bond). Whichever method is chosen, please indicate who the trustee, insurance company, issuer of the letter of credit or surety bond, as appropriate, will be. If a letter of credit or surety bond is to be used, please file the original of the letter of credit issued by the financial institution or the original of the surety bond issued by the insurance company. If a trust is to be used, an original copy of the trust document, signed and executed by the preneed entity and the financial institution.
- ☐ Application for Preneed Branch Certificate of Authority (if any) (signed and dated for each branch, with all appropriate information provided)
- ☐ Financial Statements as of the last fiscal year end (prepared in accordance with GAAP, including a cash flow statement). Please note that demonstration of your entity's ability to discharge its liabilities must satisfy the financial requirements of Rule 482-3-001-.05. You may find this Rule at the Alabama Department of Insurance website [www.aldoi.gov](http://www.aldoi.gov).
- ☐ Registration of Preneed Sales Agent forms (for each preneed sales agent, with all appropriate information provided). Please note that you must have at least one preneed sales agent registered.
- ☐ Copy of preneed contract to be used in preneed sales.
- ☐ Statement that you will comply with all requirements of Section 27-17A and Rule 482-3-001.
- ☐ Endowment care cemetery trust document (if applicable)